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SHEET 1 OF 1

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

MNFRAME.041A

APPLICATION NO.

08/942.384

INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

APPLICANT

Liu et al.

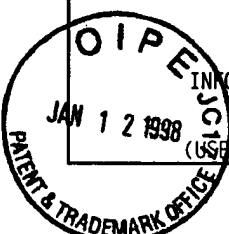
FILING DATE

October 1, 1997

GROUP

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(USE SEVERAL SHEETS IF NECESSARY)



U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|---------------------|-----------------|----------|-----------------|-------|----------|---------------------------------|
| WU | 5,210,855 | 05/11/93 | Bartol | — | — | |
| WU | 5,471,617 | 11/28/95 | Farrand et al. | — | — | |
| WU | 5,579,491 | 11/26/96 | Jeffries et al. | — | — | |
| WU | 5,621,892 | 04/15/97 | Cook | — | — | |
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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
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EXAMINER
INITIAL

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

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EXAMINER

Ly V. Hwa

DATE CONSIDERED

9/12/99

*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
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(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT
LIU, ET AL.FILING DATE
October 1, 1997GROUP
2785

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|---------------------|-------------------------------------|-----------------|----------|---------------------|-------|----------|---------------------------------|
| <i>RLH</i> | <input checked="" type="checkbox"/> | 4,449,182 | 05/15/84 | Rubinson et al. | | | |
| | <input checked="" type="checkbox"/> | 4,835,737 | 05/30/89 | Herrig et al. | | | |
| | <input checked="" type="checkbox"/> | 4,949,245 | 08/14/90 | Martin et al. | | | |
| | <input checked="" type="checkbox"/> | 4,999,787 | 03/12/91 | McNally et al. | | | |
| | <input checked="" type="checkbox"/> | 5,210,855 | 05/11/93 | Bartol | | | |
| | <input checked="" type="checkbox"/> | 5,269,011 | 12/07/93 | Yanai et al. | | | |
| | <input checked="" type="checkbox"/> | 5,272,584 | 12/21/93 | Austruy et al. | | | |
| | <input checked="" type="checkbox"/> | 5,317,693 | 05/31/94 | Cuenod et al. | | | |
| | <input checked="" type="checkbox"/> | 5,329,625 | 07/12/94 | Kannan et al. | | | |
| | <input checked="" type="checkbox"/> | 5,337,413 | 08/09/94 | Lui et al. | | | |
| | <input checked="" type="checkbox"/> | 5,386,567 | 01/31/95 | Lien et al. | | | |
| | <input checked="" type="checkbox"/> | 5,483,419 | 01/09/96 | Kaczeus, Sr. et al. | | | |
| | <input checked="" type="checkbox"/> | 5,493,574 | 02/20/96 | McKinley | | | |
| | <input checked="" type="checkbox"/> | 5,493,666 | 02/20/96 | Fitch | | | |
| | <input checked="" type="checkbox"/> | 5,517,646 | 05/14/96 | Piccirillo et al. | | | |
| | <input checked="" type="checkbox"/> | 5,555,510 | 09/10/96 | Verseput et al. | | | |
| | <input checked="" type="checkbox"/> | 5,564,024 | 10/08/96 | Pemberton | | | |
| | <input checked="" type="checkbox"/> | 5,568,610 | 10/22/96 | Brown | | | |
| | <input checked="" type="checkbox"/> | 5,579,491 | 11/26/96 | Jeffries et al. | | | |
| | | 5,581,712 | 12/03/96 | Herrman | | | |
| | | 5,588,144 | 12/24/96 | Inoue et al. | | | |
| | | 5,606,672 | 02/25/97 | Wade | | | |
| | | 5,608,876 | 03/04/97 | Cohen et al. | | | |
| | | 5,615,207 | 03/25/97 | Gephardt et al. | | | |
| | | 5,632,021 | 05/20/97 | Jennings et al. | | | |
| | | 5,638,289 | 06/10/97 | Yamada et al. | | | |
| | | 5,644,470 | 07/01/97 | Benedict et al. | | | |
| | | 5,644,731 | 07/01/97 | Liencrees et al. | | | |

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EXAMINER

Ly V. Hua

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SHEET 2 OF 3

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| FORM PTO-1449 | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO. MNFRAME.041A | APPLICATION NO. 08/942,384 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY) | | APPLICANT LIU, ET AL. | |
| | | FILING DATE October 1, 1997 | GROUP 2785 |



U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|---------------------|-----------------|----------|--------------------|-------|----------|---------------------------------|
| lk | 5,651,006 | 07/22/97 | Fujino et al. | | | |
| | 5,652,832 | 07/29/97 | Kane et al. | | | |
| | 5,664,119 | 09/02/97 | Jeffries et al. | | | |
| | 5,680,288 | 10/21/97 | Carey et al. | | | |
| | 5,696,970 | 12/09/97 | Sandage et al. | | | |
| | 5,726,506 | 03/10/98 | Wood | | | |
| | 5,740,378 | 04/14/98 | Rehl et al. | | | |
| | 5,747,889 | 05/05/98 | Raynham et al. | | | |
| | 5,748,426 | 05/05/98 | Bedingfield et al. | | | |
| | 5,754,797 | 05/19/98 | Takahashi | | | |
| | 5,761,033 | 06/02/98 | Wilhelm | | | |
| | 5,761,045 | 06/02/98 | Olson et al. | | | |
| | 5,764,968 | 06/09/98 | Ninomiya | | | |
| | 5,765,198 | 06/09/98 | McCrocklin et al. | | | |
| | 5,768,541 | 06/16/98 | Pan-Ratzlaff | | | |
| | 5,768,542 | 06/16/98 | Enstrom et al. | | | |
| | 5,781,767 | 07/14/98 | Inoue et al. | | | |
| | 5,781,798 | 07/14/98 | Beatty et al. | | | |
| | 5,784,576 | 07/21/98 | Guthrie et al. | | | |
| | 5,790,831 | 08/04/98 | Lin et al. | | | |
| | 5,793,987 | 08/11/98 | Quackenbush et al. | | | |
| | 5,794,035 | 08/11/98 | Golub et al. | | | |
| | 5,796,185 | 08/18/98 | Takata et al. | | | |
| | 5,796,981 | 08/18/98 | Abudayyeh et al. | | | |
| | 5,798,828 | 08/25/98 | Thomas et al. | | | |
| | 5,799,036 | 08/25/98 | Staples | | | |
| | 5,802,269 | 09/01/98 | Poisner et al. | | | |
| | 5,802,393 | 09/01/98 | Begun, et al. | | | |

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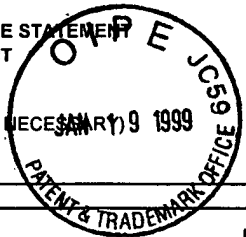
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| EXAMINER <i>Ly V. Hua</i> | DATE CONSIDERED <i>9/20/99</i> |
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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|---------------------|-----------------|----------|-----------------|-------|----------|---------------------------------|
| <i>Wd</i> | 5,802,552 | 09/01/98 | Fandrich et al. | | | |
| <i>Wd</i> | 5,805,834 | 09/08/98 | McKinley et al. | | | |
| <i>Wd</i> | 5,809,224 | 09/15/98 | Schultz et al. | | | |
| <i>Wd</i> | 5,812,757 | 09/22/98 | Okamoto et al. | | | |
| <i>Wd</i> | 5,812,858 | 09/22/98 | Nookala et al. | | | |
| <i>Wd</i> | 5,815,117 | 09/29/98 | Kolaneck | | | |
| <i>Wd</i> | 5,822,547 | 10/13/98 | Boesch et al. | | | |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY) | | RECEIVED MAR 15 1999 | |
| | | APPLICANT Liu, et al. | |
| MAR 08 1999 | | FILING DATE October 1, 1997 | GROUP 2785 Group 2700 |

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|---------------------|-----------------|-----------|----------|---------------------|----------|---------------------------------|
| ✓ | A | 4,707,803 | 11/17/87 | Anthony, Jr. et al. | | |
| ✓ | B | 5,006,961 | 04/09/91 | Monico | | |
| ✓ | C | 5,307,354 | 04/26/94 | Cramer et al. | | |
| ✓ | D | 5,351,276 | 09/27/94 | Doll, Jr. et al. | | |
| ✓ | E | 5,404,494 | 04/04/95 | Garney | | |
| ✓ | F | 5,440,748 | 08/08/95 | Sekine et al. | | |
| ✓ | G | 5,487,148 | 01/23/96 | Komori et al. | | |
| ✓ | H | 5,491,791 | 02/13/96 | Glowny et al. | | |
| ✓ | I | 5,559,965 | 09/24/96 | Oztaskin et al. | | |
| ✓ | J | 5,568,619 | 10/22/96 | Blackledge et al. | | |
| ✓ | K | 5,577,205 | 11/19/96 | Hwang et al. | | |
| ✓ | L | 5,581,714 | 12/03/96 | Amini et al. | | |
| ✓ | M | 5,655,081 | 08/05/97 | Bonnell et al. | | |
| ✓ | N | 5,655,148 | 08/05/97 | Richman et al. | | |
| ✓ | O | 5,659,682 | 08/19/97 | Devarakonda et al. | | |
| ✓ | P | 5,666,538 | 09/09/97 | DeNicola | | |
| ✓ | Q | 5,675,723 | 10/07/97 | Ekrot et al. | | |
| ✓ | R | 5,684,671 | 11/04/97 | Hobbs et al. | | |
| ✓ | S | 5,689,637 | 11/18/97 | Johnson et al. | | |
| ✓ | T | 5,696,899 | 12/09/97 | Kalwitz | | |
| ✓ | U | 5,724,529 | 03/03/98 | Smith et al. | | |
| ✓ | V | 5,761,462 | 06/02/98 | Neal et al. | | |
| ✓ | W | 5,765,008 | 06/09/98 | Desai et al. | | |
| ✓ | X | 5,774,741 | 06/30/98 | Choi | | |
| ✓ | Y | 5,781,703 | 07/14/98 | Desai et al. | | |
| ✓ | Z | 5,801,921 | 09/01/98 | Miller | | |
| ✓ | A1 | 5,812,750 | 09/22/98 | Dev et al. | | |
| ✓ | (B1) | 5,815,652 | 09/29/98 | Ote et al. | | |

EXAMINER

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| FILING DATE October 1, 1997 | | GROUP 2785 |

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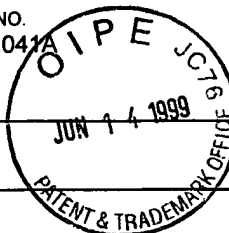
| U.S. PATENT DOCUMENTS | | | | | | | |
|-----------------------|-------|-----------------|----------|------------------------|-------|----------|------------------------------|
| EXAMINER INITIAL | CLASS | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
| LSH | C1 | 5,835,738 | 11/10/98 | Blackledge, Jr. et al. | | | |
| | D1 | 5,841,991 | 11/24/98 | Russell | | | |
| | E1 | 5,852,720 | 12/22/98 | Gready et al. | | | |
| | F1 | 5,857,074 | 01/05/99 | Johnson | | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | | |
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| EXAMINER INITIAL | CLASS | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | | YES | NO |
| | G1 | EP 0 866 403 A1 | 09/23/98 | European Patent Office | | | | |
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Liu et al.FILING DATE
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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|---------------------|-----|-----------------|----------|-------------------|-------|----------|---------------------------------|
| ✓ | (A) | 4,057,847 | 11/08/77 | Lowell et al. | 364 | 200 | |
| ✓ | B | 4,672,535 | 06/09/87 | Katzman et al. | 364 | 200 | |
| ✓ | C | 4,769,764 | 09/06/88 | Levanon | 364 | 708 | |
| ✓ | D | 5,051,720 | 09/24/91 | Kittirutsunetorn | 340 | 310 R | |
| ✓ | E | 5,157,663 | 10/20/92 | Major et al. | 371 | 9.1 | |
| ✓ | F | 5,253,348 | 10/12/93 | Scalise | 395 | 325 | |
| ✓ | G | 5,266,838 | 11/30/93 | Gerner | 307 | 19 | |
| ✓ | H | 5,432,946 | 07/11/95 | Allard et al. | 395 | 750 | |
| ✓ | I | 5,473,499 | 12/05/95 | Weir | 361 | 58 | |
| ✓ | J | 5,526,289 | 06/11/96 | Dinh et al. | 364 | 557 | |
| ✓ | K | 5,528,409 | 06/18/96 | Cucci et al. | 359 | 171 | |
| ✓ | L | 5,546,272 | 08/13/96 | Moss et al. | 361 | 687 | |
| ✓ | (M) | 5,559,764 | 09/24/96 | Chen et al. | 396 | 30 | |
| ✓ | (N) | 5,559,958 | 09/24/96 | Farrand et al. | 395 | 183.03 | |
| ✓ | (O) | 5,572,403 | 11/05/96 | Mills | 361 | 695 | |
| ✓ | (P) | 5,598,407 | 01/28/97 | Bud et al. | 370 | 330 | |
| ✓ | (Q) | 5,621,159 | 04/15/97 | Brown et al. | 73 | 9 | |
| ✓ | R | 5,622,221 | 04/22/97 | Genga, Jr. et al. | 165 | 208 | |
| ✓ | S | 5,652,892 | 07/29/97 | Ugajin | 395 | 750 | |
| ✓ | T | 5,671,371 | 09/23/97 | Kondo et al. | 395 | 306 | |
| ✓ | U | 5,737,708 | 04/07/98 | Grob et al. | 455 | 557 | |
| ✓ | V | 5,742,833 | 04/21/98 | Dea et al. | 395 | 750.05 | |
| ✓ | W | 5,752,164 | 05/12/98 | Jones | 455 | 33.1 | |
| ✓ | X | 5,778,197 | 07/07/98 | Dunham | 395 | 284 | |
| ✓ | Y | 5,787,459 | 07/28/98 | Stallmo et al. | 711 | 112 | |
| ✓ | Z | 5,790,775 | 08/04/98 | Marks et al. | 395 | 182.07 | |
| ✓ | A1 | 5,796,580 | 08/18/98 | Komatsu et al. | 361 | 687 | |
| ✓ | B1 | 5,802,305 | 09/01/98 | McKaughan et al. | 395 | 200.57 | |

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| | APPLICANT Liu et al. | RECEIVED JUN 15 1999 Group 2700 |
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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|---------------------|----|-----------------|----------|-------------------|-------|----------|---------------------------------|
| <i>W</i> | C1 | 5,802,324 | 09/01/98 | Wunderlich et al. | 395 | 281 | |
| | D1 | 5,803,357 | 09/08/98 | Lakin | 236 | 78 B | |
| | E1 | 5,812,748 | 09/22/98 | Ohran et al. | 395 | 182.02 | |
| | F1 | 5,821,596 | 10/13/98 | Miu et al. | 257 | 419 | |
| | G1 | 5,835,719 | 11/10/98 | Gibson et al. | 395 | 200.51 | |
| | H1 | 5,838,932 | 11/17/98 | Alzien | 395 | 308 | |
| | I1 | 5,852,724 | 12/22/98 | Glenn, II et al. | 395 | 200.69 | |
| | J1 | 5,864,653 | 01/26/99 | Tavallaei et al. | 315 | 181 | |
| | K1 | 5,875,310 | 02/23/99 | Buckland et al. | 395 | 306 | |
| | L1 | 5,878,238 | 03/02/99 | Gan et al. | 395 | 308 | |
| | M1 | 5,881,311 | 03/09/99 | Woods | 395 | 824 | |
| | N1 | | | | | | |

| EXAMINER INITIAL | OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.) | |
|---------------------|--|--|
| <i>W</i> | 1 | Shanley and Anderson, PCI System Architecture, Third Edition , Chapters 15 & 16, pp. 297-328, CR 1995. ✓ |
| <i>W</i> | 2 | PCI Hot-Plug Specification, Preliminary Revision for Review Only, Revision 0.9, pp. i-vi, and 1-25, March 5, 1997. ✓ |
| <i>W</i> | 3 | SES SCSI-3 Enclosure Services, X3T10/Project 1212-D/Rev 8a, pp. i, iii-x, 1-76, and I-1 (index), January 16, 1997. ✓ |
| <i>W</i> | 4 | Compaq Computer Corporation, Technology Brief, pp. 1-13, December 1996, "Where Do I Plug the Cable? Solving the Logical-Physical Slot Numbering Problem." |

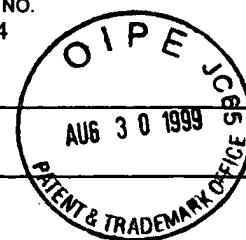
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|---------------------|----|-----------------|----------|-------------------|-------|----------|---------------------------------|
| WV | 1 | 4,692,918 | 09/08/87 | Elliott et al. | 370 | 85 | |
| WV | 2 | 5,033,048 | 07/16/91 | Pierce et al. | 371 | 21.2 | |
| WV | 3 | 5,121,500 | 06/09/92 | Arlington et al. | 395 | 750 | |
| WV | 4 | 5,136,708 | 08/04/92 | Lapoutre et al. | 395 | 650 | |
| WV | 5 | 5,138,619 | 08/11/92 | Fasang et al. | 371 | 21.1 | |
| WV | 6 | 5,245,615 | 09/14/93 | Treu | 371 | 16.5 | |
| WV | 7 | 5,276,863 | 01/04/94 | Heider | 395 | 575 | |
| WV | 8 | 5,280,621 | 01/18/94 | Barnes et al. | 395 | 800 | |
| WV | 9 | 5,388,267 | 02/07/95 | Chan et al. | 395 | 700 | |
| WV | 10 | 5,432,715 | 07/11/95 | Shigematsu et al. | 364 | 551.01 | |
| | 11 | 5,438,678 | 08/01/95 | Smith | 395 | 750 | |
| | 12 | 5,463,766 | 10/31/95 | Schieve et al. | 395 | 650 | |
| | 13 | 5,485,550 | 01/16/96 | Dalton | 395 | 51 | |
| | 14 | 5,513,314 | 04/30/96 | Kandasamy et al. | 395 | 182.04 | |
| | 15 | 5,535,326 | 07/09/96 | Baskey et al. | 395 | 182.02 | |
| | 16 | 5,548,712 | 08/20/96 | Larson et al. | 395 | 182.05 | |
| | 17 | 5,566,339 | 10/15/96 | Perholtz et al. | 395 | 750 | |
| | 18 | 5,579,487 | 11/26/96 | Meyerson et al. | 395 | 280 | |
| | 19 | 5,584,030 | 12/10/96 | Husak et al. | 395 | 750 | |
| | 20 | 5,596,711 | 01/21/97 | Burckhardt et al. | 395 | 182.21 | |
| | 21 | 5,625,238 | 04/29/97 | Ady et al. | 307 | 147 | |
| | 22 | 5,627,962 | 05/06/97 | Goodrum et al. | 395 | 182.11 | |
| | 23 | 5,630,076 | 05/13/97 | Saulpaugh et al. | 395 | 284 | |
| | 24 | 5,631,847 | 05/20/97 | Kikinis | 364 | 514 R | |
| | 25 | 5,652,839 | 07/29/97 | Giorgio et al. | 395 | 200.11 | |
| | 26 | 5,652,908 | 07/29/97 | Douglas et al. | 395 | 800 | |
| | 27 | 5,655,083 | 08/05/97 | Bagley | 395 | 182.31 | |
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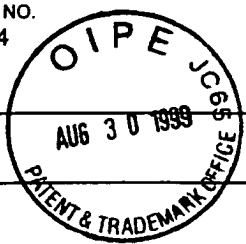
EXAMINER

Ly V. Hua

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|---|----------------------------------|-------------------------------|---|
| FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY) | ATTY. DOCKET NO. MNFRAME.041A | APPLICATION NO. 08/942,384 |  |
| | APPLICANT Liu, et al. | | |
| | FILING DATE October 1, 1997 | GROUP 2785 | |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|---------------------|----|-----------------|----------|--------------------|-------|----------|---------------------------------|
| <i>LSH</i> | 29 | 5,668,992 | 09/16/97 | Hammer et al. | 395 | 651 | |
| | 30 | 5,669,009 | 09/16/97 | Buktenica et al. | 395 | 800.35 | |
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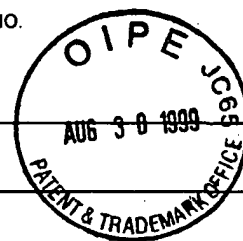
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| | FILING DATE October 1, 1997 | GROUP 2785 |



| EXAMINER INITIAL | OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.) | |
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| LKH | 57 | NetFrame Systems Incorporated, Doc. No. 78-1000226-01, pp. 1-2, 5-8, 359-404, and 471-512, April 1996, "NetFrame Clustered Multiprocessing Software: NW0496 DC-ROM for Novell® NetWare® 4.1 SMP, 4.1, and 3.12." |
| | 58 | Shanley, and Anderson, PCI System Architecture, Third Edition, Chapter 15, pp. 297-302, Copyright 1995, "Intro To Configuration Address Space." |
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